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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/305,146	05/04/1999	GEORGE V. GUYAN	AND1P069	1663

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EXAMINER

RIMELL, SAMUEL G

ART UNIT PAPER NUMBER

2166

DATE MAILED: 12/04/2001

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/305,146

Applicant(s)

GUYAN ET AL.

Examiner

Sam Rimell

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on ____.
- 2a) ☒ This action is FINAL. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-21 is/are pending in the application.
- 4a) Of the above claim(s) ____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) ____ is/are allowed.
- 6) ☒ Claim(s) 1-21 is/are rejected.
- 7) ☐ Claim(s) ____ is/are objected to.
- 8) ☐ Claims ____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on ____ is/are objected to by the Examiner.
- 11) ☐ The proposed drawing correction filed on ____ is: a) ☐ approved b) ☐ disapproved.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. ____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

Attachment(s)

- 15) ☐ Notice of References Cited (PTO-892)
- 16) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 17) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) ____.
- 18) ☐ Interview Summary (PTO-413) Paper No(s). ____.
- 19) ☐ Notice of Informal Patent Application (PTO-152)
- 20) ☐ Other: ____.

SAM RIMELL
PRIMARY EXAMINER
AU 2166

Preliminary Note: The Information Disclosure Statement of 10/5/01 has been received and fully considered.

The disclosure is objected to for the following minor informality: In Figure 2A, two different structures are labeled with reference numeral 200. Correction is required.

Claims 2 and 6 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claim 2 calls for a "subcomponent of an event". It is not clear what distinction exists between an "event" and a "subcomponent of an event". Claim 6 calls for "another application". It is not clear whether this "application" is a computer program or a piece of hardware. The claims do not previously refer to an "application", so it is not clear what "another application" would actually be.

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

Claims 1-21 are rejected under 35 U.S.C. 102(e) as being anticipated by Lau ('247).

Lau discloses a programming system for developing component based software using object oriented programming principles. FIG.3 discloses a data component in the form of a storage system that is capable of storing, retrieving and manipulating data in the form of completed computer programs that includes a specific sets of functions. The system further

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includes a client side, or user manipulable component (300) that includes a number of subcomponents. The first subcomponent is an adapter component composed of structures (302) and (303), which work together. The adapter component (303) transmits and receives data from the data component (308), and cooperates with the adapter component (302) to adapt data received from component (301). The second subcomponent is a business logic component (301) that includes an overall logic for manipulating data. The third subcomponent is a controller component (305) that creates completed frameworks for programs. The controller subcomponent (306) receives data on events from the user at terminal (306). The controller component also communicates with the business component (301) and the adapter components (302, 303) to persist data to a data repository in the data component (308).

The purpose of the client component (300) is to create object based programs that link an individual, such as a person (col. 7, line 62) to an event, such as the creation of an insurance policy (col. 7, line 62), an insurance claim (col. 9, line 11), or assignment of an agent to the individual (see reference numeral 501 in FIG. 5).

When a person is linked to an event, they are inherently linked to all the subcomponents associated with that event.

Information on insured individuals and claims made by those individuals must inherently be present in databases, otherwise, the system of Lau would not be able to perform the required function of 'resolving customer claims' (col. 9, line 11).

All of the events that become associated with an individual are disclosed by Lau as insurance related events (col. 9, lines 9-10).

FIG. 5 illustrates one type of correspondence template (501) which correlates the individual to certain events, such as the creation of a policy or the assignment of an agent to administer the policy.

Remarks

The disclosure has been objected to for containing a minor informality in FIG. 2A. This error has not been corrected or otherwise addressed, so the objection is maintained.

Claims 2 and 6 have been rejected under 35 USC 112, second paragraph. Claim 2 has not been addressed by either amendment or argument, so the rejection of claim 2 is maintained. Claim 6 has only been amended to replace one of the objected words with a synonym of the same word. The rejection of claim 6 is thus maintained. It is noted that the problem occurring in claim 6 relates to the meaning of the term "application", not the meaning of the term "another".

Claims 1-21 have been rejected under 35 USC 102(e) as being anticipated by Lau (247).

Examiner has pointed out that the storage system of Lau reads as the claimed "data component" that "stores retrieves and manipulates data utilizing a plurality of functions". Applicant argues that a storage system cannot manipulate data utilizing a plurality of functions. This is not correct. A storage system can manipulate data moving the data into or out of memory locations.

Applicant also argues that Lau lacks a "business component that serves as a data cache and includes logic for manipulating the data". Examiner maintains that this corresponds to the business logic component (301) in the Lau reference. The business logic component in Lau is essentially a set of previously generated computer code or computer programs (col. 8, line 51). Such code or programs will inherently contain embedded data (see data objects in FIG. 2) thus making the programs a data cache. The programs include logic which operate on the data.

Applicant also argues that the component (306) is display device and thus cannot read a controller component. The office states that the controller component is composed of both elements (305) and (306), not just element (305). Element (305) in Lau is a framework completion processor that readily reads on the claimed controller component. The display (306) is the user interface to that component.

Applicant further that argues that claims 1, 8 and 15 lack a whole series of limitations underlined in the first paragraph of page 4 in applicant's arguments. These limitations are only found in claim 15, not in claims 1 and 8, so these arguments are only pertinent to this one claim. In particular, these arguments suggest that Lau lacks at least one client component that that links and individual to an event and outputting the linked information. These features were fully addressed on page 3, second paragraph of the first office action. As specifically stated in the first office action, Lau discloses at least one client component (300) that creates object oriented programs for the purpose of linking individuals to any one of a number different insurance related events.

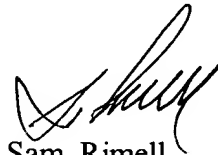
Applicant further argues that Lau lacks the disclosure of dirty flag processing or providing validation in computer programs. Examiner maintains that such features are inherent in objected oriented programming applications. Dirty flags are well known functions which are inherent to certain classes of objects within object oriented programming. Validation simply involves checking the programs for logical errors.

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

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A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication should be directed to Sam Rimell at telephone number (703) 306-5626.



Sam Rimell
Primary Examiner
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